

Schedule 150-1-1-3

HEALTH AND HUMAN SERVICES SYSTEM

HOME AND COMMUNITY SERVICES

JUNE 19, 2007

Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559

**REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

**TO: STATE RECORDS ADMINISTRATOR
STATE OF NEBRASKA**

SCHEDULE

150-1-1-3

AGENCY, BOARD OR COMMISSION

Health and Human Services System

DIVISION, BUREAU OR OTHER UNIT

Home and Community Services

**Supersedes 40-1-5-9; 40-1-5-25 thru 40-1-5-32;
40-1-5-60 edition May 1, 1990**

PART I -- AGENCY STATEMENT

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE

Miranda McElhannon

TITLE

DATE

6/14/07

PART II - ARCHIVAL APPROVAL

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE

J. J. B. T.

STATE ARCHIVES

DATE

6-19-07

PART III -- APPROVAL BY STATE RECORDS ADMINISTRATOR

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE

Jim Hall

STATE RECORDS ADMINISTRATOR

DATE

June 19, 2007

RMA 01005D

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guidelines for storing and disposing of agency records, *regardless of the media on which they reside*, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. These retention schedules, which are approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your to your schedule.

DISPOSING OF RECORDS

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

Please remember to retain the blank form for future use.

NON-SCHEDULED RECORDS

Contact a Records Management Consultant in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

SCHEDULE UPDATE

It is the responsibility of each agency to periodically update their schedule. A Records Management Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that you have the ongoing authority to discard records when their useful life has ended.

QUESTIONS

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
402-471-2559**

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SCHEDULE 150-1-1-3 HOME AND COMMUNITY SERVICES

150-1-1-3-1 MEDICALLY HANDICAPPED CHILDREN'S PROGRAM

150-1-1-3-1-1 MEDICALLY HANDICAPPED CHILDREN'S CASE FILE

Provides medical records, case worker reports, case action, correspondence, Physicians referral form, application for services, eligibility forms, social summaries, case notes and miscellaneous letters, etc.

ORIGINAL RECORD: Dispose of 6 years after case has closed or last contact.

MEDICAL INFORMATION: Transfer to the medical file 25 years after recipient has reached the age of 21 or 25 years after date of death, whichever is sooner.

150-1-1-3-1-2 HANDICAPPED CHILDREN'S MEDICAL FILE

Provides all medical information received, such as problems, diagnosis, treatments, examination reports, medical evaluations, lab reports, x-ray reports, case notes and miscellaneous letters, etc.

Dispose of 25 years after recipient has reached age 21 or 25 years after date of death, whichever is sooner.

150-1-1-3-1-3 LETTER OF NOTIFICATION OF CASE ACTION

Notice of action concerning a case (acceptance, rejection, closed, reopened, program change etc.)

ORIGINAL RECORD: To the Parent/Client.

DUPLICATE COPY: Add to MEDICALLY HANDICAPPED CHILDREN'S CASE FILE
150-1-1-3-1-1.

150-1-1-3-1-4 ORDER OF AUTHORIZATION

Forms used to authorize vendors to provide medical goods and services for recipients.

Dispose of 6 years after case has closed or last contact.

150-1-1-3-1-5 PAYMENT RECORDS

Contains patient identifying information filed alphabetically. Records, date of service, SCC payment voucher number, Provider name, services rendered, amount Paid less amount paid by insurance or other source.

ORIGINAL RECORD: Dispose of 6 years following the end of the fiscal year to which the records pertain, provided audit has been completed.¹

ELECTRONIC DATA: Backup daily or monthly; dispose of after superseded.

SECURITY BACKUP COPY: Dispose of after superseded.

150-1-1-3-1-6 COMPUTER DEMOGRAPHIC AND CASE TRACKING RECORDS

Contains patient identifying information. Records dates of referral, case actions, and case status and worker assignments.

ORIGINAL RECORD: Dispose of 6 years after case has been closed.

ELECTRONIC DATA: Backup daily or monthly; dispose of after superseded.

SECURITY BACKUP COPY: Dispose of after superseded.

150-1-1-3-1-7 X-RAYS

X-Rays of medically handicapped children.

Dispose of after 25 years after recipient has reached the age of majority or 25 years after the date of death.

150-1-1-3-2 AGED & DISABLED MEDICAID WAIVER

**150-1-1-3-2-1 SERVICES COORDINATION DOCUMENTATION
(480 NAC 5-004)**

Services coordination documentation shall be maintained for each client. Records may be kept in computer or paper form. Documentation includes Initial referral information, Documentation related to waiver eligibility and authorization, determinations of NF level of care, Assessment(s) and other functional information, plans of services supports, All written notices to, and other communication with, the client/guardian, interagency correspondence, including referrals, activities related to services delivery monitoring, and narrative documentation, etc.

ORIGINAL RECORD: Dispose of after 4 years.

ELECTRONIC DATA: Backup as required; dispose of after 4 years.

SECURITY BACKUP COPY: Dispose of after 4 years.

150-1-1-3-2-2 RESOURCE DEVELOPMENT DOCUMENTATION

Resource Development Documentation shall be maintained for each provider, and retained for four years. Documentation must include provider agreements, addendum's, and checklists, verification of central registry checks, felony and/or misdemeanor statements, written notices to and other communication with, the provider, activities related to services delivery monitoring, narrative documentation (e.g., resource development staff decisions and actions, and other factual, relevant information), and billing and payment records.

Dispose of after 6 years, provided audit has been completed.¹

150-1-1-3-2-3 PROVIDER RECORD KEEPING (480 NAC 5-011)

Providers of waiver services must retain for four years the following material: Documentation which supports provision of services to each client served under the waiver, any other documentation determined necessary by HHSS to support selection and provision of services under a plan of services and supports, financial information necessary to allow for an independent audit under the waiver, documentation which supports requests for payment under the waiver, and provider agreements with HHSS.

ORIGINAL RECORD: Dispose of after 6 years, provided audit has been completed.¹

ELECTRONIC DATA: Backup as required; dispose of after 4 years, provided audit has been completed.¹

SECURITY BACKUP COPY: Dispose of after 4 years, provided audit has been completed.¹

150-1-1-3-3 DISABLED PERSONS/FAMILY SUPPORT

150-1-1-3-3-1 DISABLED PERSONS AND FAMILY SUPPORT CASE FILE

File includes application forms, letters of case actions, medical forms, case notes, miscellaneous letters and other information.

Dispose of 6 years after case has been closed.

150-1-1-3-3-2 COMPUTER DEMOGRAPHIC AND CASE TRACKING RECORDS

Contains patient identifying information. Records dates of referral, case actions, case status and worker assignments.

Dispose of 3 years after case has been closed.

150-1-1-3-4 RESPIRE SUBSIDY

150-1-1-3-4-1 COMPUTER DEMOGRAPHIC AND CASE TRACKING RECORDS, RESPIRE SUBSIDY CASEFILE

Contains Patient identifying information. Records dates of referral, case actions, case status and worker assignments. Application forms, letters of case actions, case notes. Miscellaneous letters and other information.

ORIGINAL RECORD: Dispose of after 6 years, after case has been closed.

ELECTRONIC DATA: Backup as required; dispose of after 3 years.

SECURITY BACKUP COPY: Dispose of after 3 years.

150-1-1-3-5 SOCIAL SERVICE BLOCK GRANT

150-1-1-3-5-1 CASE RECORD MAINTENANCE (473 NAC 2-010)

Service case records must include appropriate forms for documentation of the request for services, income verification, service eligibility, and service plan formulation.

Dispose of 4 years after the end of the eligibility period.

150-1-1-3-6 ADULT PROTECTIVE SERVICES

150-1-1-3-6-1 CASE RECORDS

Documentation includes narrative of all findings and activities relating to the report, investigation, needs assessment, status of case, eligibility, DSS-60, etc.

SUBSTANTIATED CASES: Retain permanently.

UNSUBSTANTIATED CASES: Dispose of identifying case record material within 1 year from the completion date of the investigation.

150-1-1-3-7 EARLY INTERVENTION

150-1-1-3-7-1 CLIENT FILES (480 NAC 10-006)

Client records include initial contact form, consent forms, medical records and assessments necessary for services coordination, MDT report, IFSP, releases of information, family correspondence, interagency correspondence, and narrative documentation.

Dispose of 6 years after the completion of the activities for which early intervention funds were used, provided a reasonable effort to locate parents has been done and provided audit has been completed.¹

150-1-1-3-7-2 EARLY INTERVENTION WAIVER

For home and community based services, records must contain all forms related to waiver eligibility, narrative documentation, determinations of NF level of care, IFSP's (plan of care), all written notices to families, Provider enrollment contracts, and provider billing and payment records.

Dispose of after 6 years, provided audit has been completed.¹

150-1-1-3-8 SCHOOL ADMINISTRATIVE OUTREACH

150-1-1-3-8-1 CASE MANAGEMENT CLAIMS

Quarterly reports of administrative costs and time-study results for participating school districts and educational service units as prescribed in Nebraska Reissue Revised Statute 68-1072.

Dispose of after 6 years.

150-1-1-3-8-2 CASE MANAGEMENT AGREEMENTS

School districts and educational service units participating in the School Admin Outreach program as prescribed in Nebraska Reissue Revised Statute 68-1072.

Dispose of after 6 years.

NOTE

1. These records may be disposed of after the required retention period provided the audit of the Comprehensive Annual Financial Report (CAFR) is complete and any required federal audit is complete, and all related audit comments have been resolved. Check with the organization that performed the audit, either the Auditor of Public Accounts or the federal cognizant agency, if there is a question whether resolution is complete.

RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8 TH STREET SUITE 210 LINCOLN, NE 68508-2294	AGENCY
	DIVISION
	SUB-DIVISION

REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.

RMA 03006D

VOLUME ESTIMATING GUIDE

(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS ADEQUATE.)

Vertical File Cabinet, 4 drawer letter-size	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size	9 cubic feet
Lateral File, 4 drawer/shelf legal-size.....	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load.....	50 cubic feet